



22763 U.S. PTO

Docket No. 4428-4001US1

Express Mail No. EJ606931540US

**27123**

↑CUSTOMER NUMBER↑

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY APPLICATION AND FEE TRANSMITTAL §(1.53(b))

15439 U.S. PTO  
10/799506



Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s) names and addresses:

**PRASHANT PARIKH, 254 East 68th Street, New York, New York 10021, U.S.A; and  
STANLEY PETERS, 128 Hillside Avenue, Menlo Park, California 94025, U.S.A.**

☐ Additional inventors are listed on a separate sheet

For: **NAVIGATION IN A HIERARCHICAL  
STRUCTURED TRANSACTION PROCESSING SYSTEM**

Enclosed Are:

1 page(s) of cover sheet  
147 page(s) of specification  
1 page(s) of Abstract  
7 page(s) of claims 1-26  
11 sheets of Formal FIGS. 1-6, 7A, 7B and 8-14  
7 page(s) of Declaration and Power of Attorney

- ☐ Unsigned  
☐ Newly Executed  
☒ Copy from prior application serial number 10/299,359, filed November 19, 2002  
☐ Deletion of inventors including Signed Statement under 37 C.F.R. §1.63(d)(2)

1 page(s) of Associate Power of Attorney

- ☒ Copy from prior application serial number 10/299,359, filed November 19, 2002

☐ **REQUEST AND CERTIFICATION UNDER 35 U.S.C. §122(b)(2)(B)(i) (form PTO/SB/35)**

As indicated on the attached Request and Certification, Applicant(s) certify that the invention disclosed in the attached application HAS NOT and WILL NOT be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. Applicant(s) therefore request(s) that the attached application NOT be published under 35 U.S.C. §122(b).

☒ **Incorporation by Reference:**

☒ **The entire disclosure of the prior application, from which a copy of the combined Declaration and Power of Attorney is supplied herein, is considered as being part of the disclosure of the accompanying application and is incorporated herein by reference.**

☐ **Deletion of Inventors (37 C.F.R. §1.63(d) and §1.33(b))**

Signed statement attached deleting inventor(s) named in the prior application serial no. \_\_\_\_, filed \_\_\_\_.

☐ **Microfiche Computer Program (Appendix)**

☐ page(s) of Sequence Listing

☐ computer readable disk containing Sequence Listing

☐ Statement under 37 C.F.R. §1.821(f) that computer and paper copies of the Sequence Listing are the same

☒ **Assignment Papers (assignment cover sheet and assignment documents)**

☐ A check in the amount of \$40.00 for recording the Assignment

☐ Charge the Assignment Recordation Fee to Deposit Account No. 13-4500, Order No. \_\_\_\_.

☒ **Assignment Papers filed in the parent application Serial No. 10/299,359, filed November 19, 2002 and recorded under Reel 014100 and Frame 0747.**

☐ **Certification of chain of title pursuant to 37 C.F.R. §3.73(b)**

☐ **Priority is claimed under 35 U.S.C. §119 for:**

Application No(s). \_\_\_\_, filed \_\_\_\_, in \_\_\_\_ (country).

☐ **Certified Copy of Priority Document(s) [\_\_\_\_]**

☐ filed herewith

☐ filed in application Serial No. \_\_\_\_, filed \_\_\_\_.

☐ **English translation document(s) [\_\_\_\_]**

☐ filed herewith

☐ filed in application Serial No. \_\_\_\_, filed \_\_\_\_.

☐ **Priority is claimed under 35 U.S.C. §119(e) for:**  
Provisional Application No. \_\_\_\_, filed \_\_\_\_.

- ☐ Information Disclosure Statement
- ☐ Copy of [\_\_\_\_\_] cited references
- ☐ PTO Form-1449 citing references cited in parent application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.
- ☐ References cited in parent application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.
- ☐ Related Case Statement under 37 C.F.R. §1.98(a)(2)(iii)
- ☐ A copy of related pending U.S. Application(s) Serial No(s): \_\_\_\_\_, filed \_\_\_\_\_, respectively, is attached hereto.
- ☐ A copy of related pending U.S. Application(s) entitled, \_\_\_\_\_, filed \_\_\_\_\_ to inventor(s) \_\_\_\_\_, respectively, is attached hereto.
- ☐ A copy of each related application(s) was submitted in parent application serial no. \_\_\_\_\_, filed \_\_\_\_\_.
- ☒ **Preliminary Amendment**
- ☒ **Return receipt postcard (MPEP 503)**
- ☒ This is a ☐ continuation ☒ divisional ☐ continuation-in-part of prior application serial no. 10/299,359, filed November 19, 2002, to which priority under 35 U.S.C. §120 is claimed.
- ☒ **Cancel in this application original claims 1-7 and 21-26 of the parent application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)**
- ☒ **A Preliminary Amendment is enclosed. (Claims added by this Amendment have been properly numbered consecutively beginning with the number following the highest numbered original claim in the prior application).**
- ☒ **The status of the parent application is as follows:**
- ☐ A Petition for Extension of Time and a Fee therefor has been or is being filed in the parent application to extend the term for action in the parent application until \_\_\_\_\_.
- ☐ A copy of the Petition for Extension of Time in the co-pending parent application is attached.
- ☒ **No Petition for Extension of Time and Fee therefor are necessary in the co-pending parent application.**
- ☐ Please abandon the parent application at a time while the parent application is pending or at a time when the petition for extension of time in that application is granted and while this application is pending has been granted a filing date, so as to make this application co-pending.
- ☒ **Transfer the drawing(s) from the parent application to this application.**

- ☒ Amend the specification by inserting before the first line the sentence:  
This is ☐ continuation ☒ divisional ☐ continuation-in-part of co-pending  
application Serial No. 10/299,359, filed November 19, 2002.


I. CALCULATION OF APPLICATION FEE				
	Number Filed	Number Extra	Rate	Basic Fee \$770.00/385.00
Total Claims	13- 20 =	0x	\$18.00/ \$9.00	\$ 0
Independent Claims	3- 3 =	0x	\$86.00/ \$43.00	\$ 0
<input type="checkbox"/> Multiple Dependent Claims		If marked, add fee of \$290.00 (\$145.00)		\$
TOTAL:				\$ 385.00

- ☒ Small entity status is or has been claimed. Reduced fees under 37 C.F.R. §1.9 (f) paid herewith \$385.00.
- ☒ A check in the amount of \$385.00 in payment of the application filing fees is attached.
- ☐ Charge fee to Deposit Account No. 13-4500, Order No. \_\_\_\_\_. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for filing this application pursuant to 37 CFR §1.16, including all extension of time fees pursuant to 37 C.F.R. § 1.17 for maintaining copendency with the parent application, or credit any overpayment to Deposit Account No. 13-4500, Order No. 4428-4001US1. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: March 11, 2004

By:

  
Richard Straussman  
Registration No. 39,847

Correspondence Address:

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant(s)** Prashant Parikh and Stanley Peters

**Group Art Unit:** To Be Assigned

**Serial No.:** To Be Assigned

**Examiner:** To Be Assigned

**Filed:** March 11, 2004

**For:** NAVIGATION IN A HIERARCHICAL STRUCTURED  
TRANSACTION PROCESSING SYSTEM

**EXPRESS MAIL CERTIFICATE**

Express Mail Label No.: **EJ606931540US**

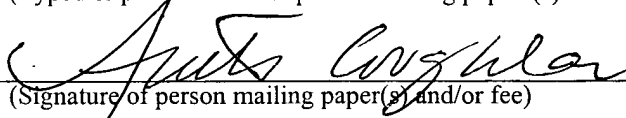
Date of Deposit: **March 11, 2004**

I hereby certify that the following attached paper(s) and/or fee

1. Utility Application and Application Fee Transmittal (in duplicate); enclosing **copy** of Cover Page (1 page); Specification (147 pages), claims 1-26 (7 pages), abstract (1 page), 11 sheets of formal drawings (FIGS. 1-6, 7A, 7B and 8-14);
2. **copy** of Declaration And Power Of Attorney (7 pages);
3. **copy** of Associate Power of Attorney (1 page);
4. Preliminary Amendment (6 pages);
5. Check in the amount of \$385.00; and
6. Return postcard

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

ANITA COUGHMAN  
(Typed or printed name of person mailing papers(s) and/or fee)

  
(Signature of person mailing paper(s) and/or fee)

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